

## TRANSMITTAL

Electronic Version v1.1

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<b>Title of Invention</b>	<b>SYSTEM AND METHOD FOR OPERATIONAL RISK ASSESSMENT AND CONTROL</b>							
Application Number :								
Date :								
First Named Applicant:	Ms. Jennifer B. Owens							
Confirmation Number:								
Attorney Docket Number:	014033-014							
<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>								
<table border="1"><tr><td>Submitted By:</td><td>Elec. Sign.</td><td>Sign. Capacity</td></tr><tr><td>Steven B. Phillips Registered Number: 37,911</td><td>Steven B. Phillips</td><td>Attorney</td></tr></table>			Submitted By:	Elec. Sign.	Sign. Capacity	Steven B. Phillips Registered Number: 37,911	Steven B. Phillips	Attorney
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Steven B. Phillips Registered Number: 37,911	Steven B. Phillips	Attorney						

Documents being submitted:	Files
us-assignment	BofA14-usassn.xml us-assignment.xsl us-assignment.dtd OwensAsgn01.tif OwensAsgn02.tif FireAsgn01.tif FireAsgn02.tif HawthAsgn01.tif HawthAsgn02.tif ValasAsgn01.tif ValasAsgn02.tif HaddAsgn01.tif HaddAsgn02.tif YeeAsgn01.tif YeeAsgn02.tif
us-request	BofA14-usrequ.xml us-request.dtd us-request.xsl
us-fee-sheet	BofA14-usfees.xml us-fee-sheet.xsl us-fee-sheet.dtd
us-declaration	DecPg01.tif
us-declaration	DecPg02.tif
us-declaration	DecPg03.tif
us-declaration	DecPg04.tif
us-declaration	DecPg05.tif
application-body	Document2-trans.xml us-application-body.xsl application-body.dtd wipo.ent mathml2.dtd mathml2-qname-1.mod isoamsa.ent isoamsb.ent isoamsc.ent isoamsn.ent isoamso.ent isoamsr.ent isogr3.ent isomfrk.ent isomopf.ent isomscr.ent isotech.ent isobox.ent isocyr1.ent isocyr2.ent isodia.ent isolat1.ent isolat2.ent

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DwgPg9.tif  
DwgPg10.tif  
DecPg06.tif

us-declaration

**Comments**

Included in this submission are: 58 paragraphs of specs., 71 claims, Abstract, 10 sheets of drawings, 6 page Declaration, 12 pages of Assignment (A 2page Assignment for each inventor), Application Data Sheet, Application Transmittal, Fee Transmittal, and Assignment Transmittal